Food Stamp Post-Implementation Review – Data Element Checklist
REGIONAL OFFICE PREPARATION:
Send checklist and questions to State agency for completion prior to review.   State should complete and return prior to on-site review.
Location can be the screen(s) where the data appears and/or a reference to the database element.
ON-SITE REVIEW:
Follow-up on any questions not answered sufficiently.

ELIGIBILITY DETERMINATION/VERIFICATION	
Does the system store the following data (**for all household members**):	
DEMOGRAPHICS:	**LOCATION**
Client Identification	
Names (including other names Household members may go by)	
Addresses (Residence and Mailing)	
Dates of Birth	
Social Security Numbers	
Household Size	
Application Date	
Telephone Number	
Ages	
Sex	
Alien Registration ID numbers	
Citizenship/Alien Status	
Racial/Ethnic Data	
Authorized Representative (if applicable):	
Name	
Address	
Telephone Number	
Apply for/Receive Food Stamps	
Group Home Resident (Drug Addict/Alcoholic/Rehab Center)	
Unlimited Number of Participants Per Household	
Relationship of Household Members	
Non-Household Members	
Elderly/Disabled Household Members	
SSI Households	
SSA Households	
TANF Households	
Strikers	
Application Processing:	
Application available on internet able to compute and submit to local office	
Application Date	
Expedited Service Eligibility	
Certification Period	
Types/Sources of Verification	
EARNED INCOME	**LOCATION**
Total (Gross)	
Individual (Gross)	
Self-Employment (Gross)	
Total (Net)	
Individual (Net)	
Self-Employment (Net)	
Self-Employment (farm only) Loss Offset	
Frequency (Other than monthly)	
Training Allowances	
Title I (VISTA) Payments	
WIA Payments	

Sponsored Alien Income Calculation

EARNED INCOME	LOCATION
Roomers/Boarders: Income from HH members	
Strikers Income Calculation	
Disqualified household member income/resources attributed to remaining household members	
Other	

UNEARNED INCOME:	LOCATION
Total	
Individual	
Net Countable	
Source (TANF, SSA, SSI, GA, VA, UIB, Alimony, pensions, scholarships, strike benefits, Child support, other)	
Disqualified household member income/resources attributed to remaining household members	

RESOURCES:	LOCATION
Total Value	
Individual Ownership	
Joint Ownership	
Vehicles	
Cash on Hand	
Bank Accounts	
Real Estate	
Stocks/Bonds	
IRA/Keogh Plans	
Other	
Transfer of Resources (3 months prior)	
System shows excluded income and resources	
How does system ensure these are not counted?	

DEDUCTIONS:	LOCATION
Medical:	
Total Monthly Expenses	
Individual Monthly Expenses ($35/mo/HH member)	
Eligibility for Deduction (Disabled or Elderly)	
Deductible Amount	
Other:	
Earned Income Deduction	
EID Disallowance if income not reported	
Standard Deduction (appropriate amount according to household size)	
Child Support Payment:	
Treated as an exclusion (optional)	
Treated as a deduction	
Dependent Care:	
Total Monthly Expenses	
Individual Monthly Expenses	
Eligibility for Deduction	
Deductible Amount	
Shelter:	
Total Expenses	
Rent/Mortgage	

	LOCATION
Property Taxes	
DEDUCTIONS:	**LOCATION**
Insurance (property)	
Frequency (other than Monthly)	
Utilities Total Expenses	
Telephone	
Electricity	
Gas	
Oil	
Water/Sewerage	
Trash Removal	
Heating/Cooling	
Other	
Vendor Payments	
Utility Allowance	
Actual ( )	
SUA ( )	
LUA ( )	
OUA ( )	
Mandatory Standard (optional)	
Telephone Allowance	
Homeless standard allowed correctly (if State has standard)	
Presence of Disabled Person in Household	
Presence of Elderly Person in Household	
Only maximum deduction allowed (for deductions with a maximum)	
Correctly allows elderly/disabled household shelter code	
Applies excess shelter cap for non-elderly/disabled HH members	
Categorical Eligibility	
Resource disregard for eligible households	
Expanded categorical eligibility programs	
Resource disregard for PA or SSI recipients	
Work Registration:	
Household members registered	
Reason for exemption	
E&T mandatory participants	
Voluntary quit or reduction in work hours	
Disqualification for non-compliance	
Track number of disqualifications	
ABAWDS:	
Track months of participation	
Exemptions:	
Track exempt areas in State (waivers)	
Reason for exemption	
Track 15% exemptions (if applicable)	
Accommodate a fixed or rolling 36 month period	
Track number of failures to comply with work programs	
Track 100% Federal E&T funds spend on Plan components	
Track 50% State and Federal E&T funds spend on Plan components	

Student Status	
Disqualification/Ineligible Reason Code	
Reason for exemption:	
Dependent HH member under 6	
Dependent HH member under 6 w/inadequate child care	
Other	
Work Status	
Grants, Scholarships, Loans	
Tuition/Mandatory Fees	

Residence in Group Facility
Household member identified as resident of group facility
Facility classified by type (GLA, DA, Mental Health, Battered Women/Children)
System tracks facility as authorized representative (where applicable)
FS allotment divided between facility and client (State option)
System (EBT) prohibits more than one-half of allotment issued to facility prior to 16th of the month
Systems permits return of one-half allotment to household leaving facility prior to 16th Of the month
Second issuance in same month to battered women shelter resident

CLAIMS	

Reason for Overissuance
Claim calculation
Collection method
      10% minimum if allotment reduction
Suspension/termination
Failure to meet repayment agreement
Submission of payments to FNS:
      35% Fraud
      20% Non-Fraud
Disallow EID when claim proven to be IPV
Correct proportions on joint claims
Generate demand letters	

Fraud Claims:	
Total Recoupment Rate (Minimum Amount) Amount Recouped to Date Outstanding Balance Offset Against Restorations	
Non-Fraud Claims:	
Total Recoupment Rate (Minimum Amount) Amount Recouped to Date Outstanding Balance Offset Against Restorations	
Agency Error Claims	
Total	
Recoupment Rate	
Amount Recouped to Date	
Outstanding Balance Offset Against Restorations	

Treasury Offset Program (TOP):
      Number of claims referred
      Number of debts removed
      Demand letters?
      System tracks expunged benefits applied to claims (State option)	

DATA ELEMENT QUESTIONS

1. Will the system accept more than one SSN per person in case someone has more than one SSN?

2. Will the system track persons certified who still need to provide an SSN?

3. Will the system provide a temporary SSN if a person does not have an SSN? (Numident or similar process)

4. Does the system capture the source of Earned Income?

5. Will the system allow for net losses from farm self-employment to be offset from other income?

6. Does the system calculate destitute provisions for income of migrants?

7. Under Dependent Care, will the system differentiate between children under two years of age and children over two years of age?

8. If the State allows Homeless Shelter Deduction, is it computed as a straight deduction from income versus an in excess of 50% of income deduction?

DATA CAPTURE & RETRIEVAL:	
Are standard systems procedures manuals available for the caseworkers? Are applications entered on the same day received? Is an interactive interview conducted?	

What is the response time for:
    On-line inquiry
    Off-line inquiry
    Application processing
    Notification of Change
Do controls exist to assure that only the caseworker can access/change cases assigned to him/her?
Does the system collect SSN for all individuals in the household at the time of interactive interview?
At the time of application, does the system provide for an intrajurisdictional verification that an active case does not exist for the same applicant?
Does the system perform on-line verification of income against a wage-reporting database?
How are matches handled?
Does the system perform IEVS matching? (optional)
Does the system perform SAVE match? (optional)
If a notice of change is received, will the system automatically:
    Update the case record
    Change the benefit calculation
    Suspend benefits
    Terminate benefits
Does the system record the origin of the change report?	

Does the system automatically notify PA of reported changes and new allotment	

amounts?	
Are reports of change and new grant amounts automatically received from PA and processed by the system?	
Does the system perform all activities necessary to maintain the appropriate level of confidentiality of information obtained from the applicant and recipient households?	

EDITS/PENDING CASES:	
Does the system process the data through interactive interviewing? Is the system capable of accepting the following: new applications changes recoupment SS-5 information monthly reporting recertification work registration EBT	
What data elements are subject to surface edit for completeness/validity?	
Are relationship edits performed for related fields to assure compatibility?	
Are edit checks performed for the following and will the system preclude incorrect application of policy: Maximum Resources (regular and elderly) Maximum allotment amount? Allowable deductions? (Maximum for Dependent Care & Shelter (except for elderly)) Basis of Issuance Tables? Omission of Disqualified Members or Households for required period	
Does the system AUTOMATICALLY terminate the case at the end of the certification period if not recertified?	
Provide for appropriate social security enumeration for all required household members	
Does the system provide for monthly reporting and retrospective budgeting?	
Does the system provide for the notification of errors detected through the edit process?	
Does the system track input errors until resolved?	
If errors are detected, will the system reject:	
Incorrect Information Only	
Entire Field	
Entire Field of Transmission	
Entire Page of Transmission	
Entire Transaction	
EDITS/PENDING CASES:	
Does the system track pending cases?	
Does the system track pending verifications?	
Does the database prevent duplication of case numbers?	
Will the system prohibit an increase in FS benefit if HH's income is reduced due to failure to comply with means-tested program (i.e., TANF)?	

Will the system reduce allotment by a percentage-not to exceed 25%- for failure to comply with a means-tested program?	

ELIGIBILITY/BENEFITS Does the system perform the following functions:	

Disaster certifications
Automatic determination of ineligibility based on:
  Excess NET Income
  Excess GROSS Income
  Excess Resources
  Citizenship/Alien Status
  Student Status
  Work Registration
  Non-compliance with SSN requirements
  Residence in ineligible institution
  Refusal to cooperate with Q.C.
  Other (Specify)	

Can the system automatically calculate the following items:
  Earned income deduction
  Standard deduction
  Allowable medical deductions
  Allowable dependent care costs
  Allowable shelter costs
  Homeless shelter deduction
  HUA/SUA (if applicable)
  Net income
  Household Size
  Thrifty Food Plan amount
  Countable Income (30% NET)
  Allotment Amount
  Minimum $10.00 Benefit (Initial month)   (May be 0 benefits for 1st month for some HHs (273.10(e)(2)(iv))
  Minimum $10.00 Allotment for Households of 1-2
  Minimum $2,$4,$6 allotment for Households of 3
  SUSPEND Issuance under 273.1(e)
  Allotment < Issuance
  Proration of initial month's benefit	

ELIGIBILITY/BENEFITS	
Does the system automatically:	
Calculate retroactive benefits to the month of Application	
Deduct claim recoupment	
Convert weekly and/or biweekly income to monthly?	
Average income/expenses over certification period?	
Issue retroactive/restored benefits installments	
Authorize/prevent changes between actual utility costs and SUA/HUA during certification period?	
Automatic continuation of benefits after an adverse action if a Fair Hearing is requested?	
Suspend case for one month due to temporary circumstances?	
Handle FNS ordered reductions, suspensions, terminations?	
Does the system determine benefits by calculation or Basis of Issuance Tables?	
Is rounding used in accordance with regulations?	
Will the system issue combined (aggregate) allotments?	
Does the system allow for authorized under or over-issuance due to claims collection or restored benefits?	

HISTORICAL RECORDS	
Are case, client, and issuance records maintained for at least three years for both active and inactive cases/actions?	
How long are case history files records available on-line?	
How long are case history files records available off-line?	
How are they stored once off-line?	
How long are paper copies maintained in case file? Are copies of notices retained in file?	
Is an inventory control of accountable documents maintained through the system for EBT cards?	
Does the system provide any inventory maintenance, needs projection or ordering functions?	
MANAGEMENT INFORMATION	
Does the system provide for monthly selection of active cases and negative action for QC review?	
Does the system include all required cases in the sampling frame?	
When is the month's frame available?	
When is sample selection made?	
Is the frame based on issuance or cashed?	
Can a dump be produced to validate sampling process?	
Is the systematic selection design used?	
Does the system provide for a new random start each month?	
Does the system provide for a new interval for each new view period? (SHOULD NOT!)	
Can the system change the interval during the sample period?	
Does the system select records for Management Evaluation review?	
Are coupon inventories of issuing agents and bulk storage points monitored by the system?	
Does the system provide any inventory maintenance, needs production or ordering functions?	
Does the system provide FNS on-line access for QC activities?	

MANAGEMENT INFORMATION
Are reports generated by the system which reflect the following summary totals:
New cases
Recertified cases
Closed cases
Suspended cases
Applications pending
Cases pending recertification
Cases certified this period
Cases pending verification
Changes processed
Claims established
Cases receiving restored or retroactive benefits
Cases receiving expedited services
Cases in which expedited service timeframe is not met
Cases in which 30 day processing timeframe is not met
Can the system generate the FNS-366B?
Can a report be generated by the system or upon request on the following:
Demographic information
Client income
FS expenditure trends
Caseload trends
Fraud trends
Fair Hearing trends
Household characteristics
Error-prone profiles
Operational statistics, and
Caseworker evaluations/performance monitoring

REGIONAL OFFICE REMINDER:

DURING THE ON-SITE REVIEW:

Ask the staff members responsible for reconciliation how they complete the reconciliation process and what documents are used and/or produced.

ISSUANCE and RECONCILIATION	

Does the system provide for any/all of the following
    ATP
    Direct Coupon Mailout
    EBT cards
    Supplemental issuances	

Does the system automatically issue EBT cards?	
Does the system meet timeframes for expedited issuance? What are the timeframes and the source?	
Does the system meet timeframes for initial issuance (28 days after app filed)?	
Does the system meet the timeframes for recertification (normal cycle)?	
Does the system allow for the replacement of lost/stolen EBT cards (within 48 hours of reported loss)? Is there a fee charged for replacement?	
Does the system provide for all households to receive their regular EBT account update at the same time each month?	
Are the EBT account updates issued on a staggered basis? What are the timeframes? How is the cycle identified?	
Does the system issue ID cards?	
Does the system generate Basis of Issuance Tables using the formulas provided by FNS?	
Can the system issue restored benefits to currently ineligible households?	

ISSUANCE and RECONCILIATION	

Does the Household Issuance Record show:
    Name
    Address
    Certification Period
    Amount of Allotment
    Case Type (PA or NPA)
    Authorized representative's name and address
    Racial/ethnic data
    Household size
    EBT PAN
    EBT Transactions	

Does the system identify an EBT issuance as any of the following:
    Regular issuance
    Initial issuance
    Supplemental issuance
    Replacement issuance
    Retroactive issuance
    Expedited issuance
    Restored benefits	

Are management exception reports issued for the above?	
Are records maintained in a manner to facilitate monthly reports? Is monthly reconciled report available?	
Does the system differentiate between the month of eligibility and month of redemption in cases of restored and retroactive benefits?	
Can the system consolidate total issuance to household for month for QC?	

MASS CHANGES	
How does the system provide for the selection of cases affected by a mass change and prepare those records for processing?	
Is a report generated which indicates the records to be changed?	

Is the system capable of computing changes and adjusting benefit levels as needed for the following?
        Thrifty Food Plan
        Gross and Net income eligibility limits
         Standard deduction
            Shelter deduction
        Utility standards	

Can the system identify households receiving excess medical/dependent care deductions?	
Can the system identify households affected by cost of living increases or other mass changes in PA grants, SSA benefits, and SSI benefits?	
Are those cases automatically flagged to assure that appropriate actions are taken by caseworkers?	
Are follow-up reports generated?	
Can the system automatically update FS income with actual increased amounts of PA grants, SSA benefits, and SSI benefits?	
Can the system cancel the month's issuance? (for the entire caseload if necessary?)	
Can restored benefits for the canceled month be issued at a later date if necessary?	

Does the system possess facilities to assure that changes in program specifications regarding eligibility and benefit calculation can be affected without major modification to the system?	
Can changes be effected within implementation deadlines (90 days)?	
Does the system presently include capability for reprogramming changes in the areas of gross income eligibility limits, retrospective accounting, and partial month allotment?	
Can the system issue reduced allotments to the entire caseload if necessary?	
Can the restorations for the reduced month be made at a later date, if necessary?	
Can the system test anticipated changes using the data base?	

NOTICES	
Does the system automatically generate the following notices? Notice of Eligibility Notice of Denial Notice of Pending Status Notice of Suspension Notice of Expiration Notice of Adverse Action Notice of Change Mass Change Notice Notice of Disqualification Notice of Required Verifications? Reminder/Incomplete Report? Monthly Report – Adequate Notice with Computation Sheet?	
Can ad hoc notices be generated by automated printing of: name/address on preprinted notice? Addressed envelopes for general notices? Mailing labels of inclusion of preprinted stuffers Stuffer with ATPs or coupons (if applicable) EBT PIN Information	
Are copies of notices automatically supplied to caseworkers?	
Does the system automatically notify the caseworkers of the following: Need for recerification? Need for work registration renewal? Need for FS recertification when PA cases are terminated? Monthly reports for suspended households? Significant birthdays (18, 60) When period of disqualification has ended?	
Does the system track the processing of Monthly Reports and terminate issuance if no report is submitted?	

QUESTIONS:

1.   Are any or all notices bilingual? (7 CFR 272.4(b))

2. Does the system redetermine or revalidate eligibility and benefits based on change notices in household circumstances?

3. Are copies of notices automatically supplied to workers?

PREPARATION BY THE REGION
Prior to the post-implementation review, the Regional Office should perform the following information gathering:
1. Pull the most recent reports to determine completeness, accuracy and timeliness of reports.
2. Determine who at the State agency is responsible for each report.   Request their participation in the Notice portion of the on-site review.
DURING THE REPORTS PORTION OF THE ON-SITE VISIT THE FOLLOWING QUESTIONS SHOULD BE ASKED FOR EACH REPORT:
1. Ask how the report is compiled. Is the report completely system generated, manually, or partially automated?
If it is manual, when does the State agency plan to automate it? Was it included in the IAPD to be automated?
If partially automated, does the State agency plan to fully automate the report? Was it included in the IAPD to be automated?
If system generated or partially automated, is it generated totally from the eligibility system or from another system? If from another system, does it use any data generated from the eligibility system?
2. What source data is used to compile the report?
3. What edits are built in, if any?
4. What timeliness standards are used?

REPORTS

Does the system prepare and provide the following reports:
     FNS-46   Issuance Reconciliation Report
     FNS-101   Project Area Racial Report
     FNS-209 Recipient Claims Against Households
     FNS-250 Food Coupon Accountability Report
     FNS-259 Mail Issuance Report
     FNS-388 Coupon Issuance and Participation Estimates
     FNS-388a Project Area Issuance & Participation (optional)
     FNS-583   Quarterly E&T Reports

What is the source data for FNS-46, 250, 259 & 388?

AD HOC REPORTING

Are reports generated by the system which reflect the following summary totals:
     new cases, recertified cases,   closed cases, suspended cases,
     applications pending, cases pending recertification, cases
     certified this period, cases pending verification, changes
     processed, claims established, cases receiving restored or
     retroactive benefits, cases receiving expedited service

Can reports be subdivided by office and worker?
Can a report be generated by the system or upon request on the following: demographic information, client income, FS expenditure trends, caseload trends, fraud trends, Fair Hearing trends, household characteristics, error-prone profiles, operational statistics, and caseworker evaluations/performance monitoring

VERIFICATION/DUPLICATE PARTICIPATION	

Are data matches performed on the following prior to certification, recertification and changes:
    Name
    SSN
    Address
    Case Number
    Phonetic Name
    Nickname(s)
    Date of Birth	

Are these performed on-line or by daily batches? For all household members or only Household head?	
Is intrajurisdictional information regarding multiple applications/duplicate participation available via on-line or daily listings?	
If duplicate participation is detected, does the system prevent entry of the duplicate case?	
Are SSNs verified through the system?	
Are the following IEVS matches performed:	

SWICA SSA IRS UIB CSE MMIS TANF UC State tax data SSI DRS TOPS	

Does the system provide an interface to the following:
    IV-D
    SAVE
    BENDEX
    SDX	

If automatic updates occur, are the appropriate notices generated?	

VERIFICATION/DUPLICATE PARTICIPATION	
Does the system provide an interface to the IV-D (Child Support) system?	
Does the system provide an interface to the SAVE system at INS?	

FS Income vs. State UC/Tax Data

1. How are hits handled?
2. Are hits prioritized?
3. Is follow-up action tracked by the system?
4. Is the comparison performed only for the Head of Household or each member?
5. Does the system apply a tolerance level amount for hits (if State has a tolerance level)?

TRAINING
Describe the training which user staff receives to prepare them to use the system.
Are standard procedures manuals available for the workers?

BENDEX Interface

SDX Interface

1. Does it result in a report listing matched SSNs?
2. Does it result in a report of discrepant information?
3. Is the FS record automatically updated to reflect the SDX information?

Was training provided in a timely basis to allow for smooth implementation of the system?
Are provisions made for on-going training of new user staff?
Describe the training which technical staff received to enable them to operate and maintain the system.
Is management staff provided data for performance monitoring and to focus on areas where training may be necessary?
Are users manuals available on-line? Policy manuals?
Are the users manuals updated in a timely fashion?
Who is responsible for changes to the manuals?
Are Help features available by individual data element

EBT TRAINING
Who was responsible for conducting EBT training at all levels: State and local staff, retailer staff, clients?
Describe the training that State and local staff receives to prepare them for EBT? Is this training integrated with the eligibility application training?
Was training provided in a timely basis to allow for smooth implementation of the system?
Describe the training that clients receive to prepare them for EBT?
How far in advance of EBT go-live were clients informed through educational and promotional materials of the change in issuance?
What types of materials were provided to the clients?
How was client training provided? Classes? Video instruction? Local agency staff conducted?
How receptive were clients to the training provided? Would you suggest improvements?
What client training provided at an appropriate time in advance of EBT go live?
Describe the training that retailers receive to prepare them for EBT?
What types of training and operations manuals were provided to the retailers?
How was retailer training conducted? What level of staff was included in the training?

REGIONAL OFFICE PREPARATION

BACKGROUND: Access to computer resources should be controlled to protect against unauthorized use, damage, loss, or modifications. Proper access controls assist in the prevention or detection of deliberate or accidental errors caused by improper use or manipulation of data files, unauthorized or incorrect use of computer programs, and/or improper use of computer resources.

Access controls are designed to limit access to documentation, files, and programs. A weakness in or lack of such controls increases the opportunity for unauthorized modification to files and programs, as well as misuse of the computer hardware. Weaknesses in documentation and/or controls over machine use may be compensated by other strong IT controls. However, weaknesses in systems software, program, and data security significantly decrease the integrity of the system. Weaknesses in this area must be considered in the evaluation of application controls. Production programs (source and object code) and job control instructions are kept in a restricted area - using secure authentication methods to gain access. Programmers and other unauthorized personnel need to be expressly prohibited from adding, replacing, or deleting production programs. The updating of the production program storage area should be monitored through the use of a report detailing all updates to the production program storage area, and a review of the programs in the production storage area. Someone should be specifically assigned this monitoring responsibility.

Production data files also need to be kept in restricted areas. Like production programs, programmers and unauthorized users should be expressly prohibited from updating or deleting production data files. Formal procedures should be in place to limit access to confidential data to authorized persons only.

PREPARATION ACTIONS:

Request and review written policies for security over access to automated resources typically address guidelines and responsibilities in the following areas:
- access to program documentation
- access to system software
- access to program and job control instructions
- access to data files
- access to applications
- passwords
- investigation of access violations

Set up data center tour and interviews. Suggested interviewees (can be part of data center tour, if applicable):
- A. Documentation Librarian
- B. System Programming Manager
- C. Applications Programming Manager
- D. Director of Information Systems
- E. Data Base Administrator

Obtain and review copies of the automated logs or journals that record/monitor access to the following:

- •program documentation
- •systems software
- •production programs and job control language
- •production data files
- •critical application systems
- •password tables

Obtain copies of the following system documentation:

- ▪ Database schema
- ▪ System flowcharts
- ▪ Record layouts
- ▪ Report formats
- ▪ Program flowcharts
- ▪ Trans flow diagram
- ▪ Control documentation procedures
- ▪ Backup procedures
- ▪ Disaster Recovery Plan

ON-SITE ACTIONS

1. Observe the storage location of documentation if it is kept in printed form or determine how access to on-line documentation is restricted. Determine if the documentation is adequately secured.

2. Determine if checked out documentation is properly logged and can be located.

3. Determine if the methods used to limit access to systems software to authorized persons are adequate.

4. Determine if checked out documentation is properly logged and if it can be located.

5. Test to see that access to systems software is limited by terminal address.

6. Determine if passwords and utilities that affect program access are adequately controlled. Also determine if controls are adequate to limit access to only those who need it to do their jobs.

7. Determine if programs not in the production library are adequately restricted from processing against data files and if controls are adequate to restrict access to data files to only authorized persons.

8. Determine who has access to confidential data. Verify with the owner of the data that these persons have authorization to access this data.

9. Test to see that access to applications, data, or entry and update of transactions is limited by terminal address and hours of operation.

10. For employees that have requested that their addresses and phone numbers not be disclosed, determine if this information is adequately protected from disclosure.

11. Determine if controls are adequate to restrict access to the data base and data base change

utilities.
12. Determine how concurrent access to the same data item is prevented and if it is adequate.
13. Interview users to determine when passwords were last changed.
14. In a department where an employee has recently terminated (if possible), determine if the employee's password has been deleted.
15. Determine how access to password tables is restricted. Determine if access is restricted to only those who really need to access the table.

BACKUPS/PURGING/RECOVERY PROCEDURES
Describe the process used on a periodic basis to purge records from the active file. How often is this done?
Describe the procedures in place to backup the database and application processing capability in case of a disaster or machine malfunction.
Is a 3 year automated history kept on all cases?
Are daily transactions saved to backup in case of machine malfunction?
Do procedures exist so that data can be reconstructed in a reasonable period of time? (grandfather-father-son storage routine)
Is a duplicate set of files, programs, documentation, and systems files stored off-site and restricted from unauthorized access?
Is at least one generation of files maintained in a location other than tape storage area? How often are these updated to reflect most current data/programs?
Describe how disaster recovery arrangements have been performed, planned, and tested by the state.
Have emergency procedures been documented?
Do they include steps to take in the event of a natural disaster?
Are employees familiar with the emergency procedures?
Are heat and smoke detectors installed at the central data center? At the State agency? In the local offices?
Are proper portable fire extinguishers located in strategic and accessible areas? Are they periodically test?
Is the computer center protected by an automatic fire suppressing system?
Is the center equipped with temperature and humidity gauges which automatically activate signals if either goes outside the norm? norm?
Is the computer center backed up by an uninterruptible power supply?
Is there backup computer capacity within the computer center?
Is there backup capacity at an off-site location?
Have backup arrangements been documented?

Are backup procedures periodically tested at the backup data center?
SYSTEMS SECURITY-Data Access
Describe the procedures used to store, retrieve, maintain, and control data.
How are schema(s)/subschema documented?
Do DBMS application programs reside in separate libraries from non-DBMS application programs?
Are all changes to the database prevented unless authorized and initiated by persons independent of the data processing function? (Separation of duties)
Are all persons prevented from overriding or bypassing data validation on editing problems?
Is the override function restricted to supervisory personnel in a limited number of circumstances?
Are all system overrides automatically logged by the application so that these actions can be analyzed for appropriateness and correctness?
Are account codes, authorization codes, passwords, etc. controlled to prevent unauthorized usage?
Has a formal change procedure for computer programs been established which requires supervisory authorization before implementation?
Do programmers test modifications against test data as opposed to live?
Does the same programmer make code changes to programs as well as test these changes?
Is access to system utility programs denied to computer operators?

Does the program library do the following:
     Restrict access to application programs?
     Control movement of programs from test to production modes?
     Provide an audit trail of all changes made to programs?
     Remove obsolete programs on a regular basis from both the source and object libraries?
     Deny access to program libraries maintained by the system to computer operators?

Are there documented procedures for password assignment, maintenance, and cancellation?
Is the delegation and maintenance of the password system limited to a select number

of people?
Is a mechanism in place to notify those responsible for maintaining the password system of personnel changes?
How frequently are passwords changed?
Are users told not to post user-IDs and passwords in easy-to-see places?

Are all software/data accesses logged?
      • Is the user uniquely identified?
      • Is the PC uniquely identified?
      • Is the date/time of access identified?
      • Are the functions performed identified?

Are access violation reports generated?
Are reports listing authorized users and their access authorities periodically generated and reviewed by management?
Is the responsibility for issuing and storing magnetic tapes, disk packs, or other storage media assigned to a librarian?
Are library procedures documented?
Are sensitive files (such as security classification or privacy act restrictions) properly identified as such and appropriately secured?
Has an overall agency-wide responsibility for conducting periodic risk analyses been formally assigned?
Does the risk analysis measure vulnerability related to fraud or theft or loss of proprietary data and harm to agency activities?
How often are risk analyses conducted? Are these required to be conducted whenever there is a significant change to the physical facility, hardware, or operating system software?
List all available access levels for the system and what can/cannot be done at each level.
Has the agency assigned responsibility for computer security at each office?
When an employee is terminated, is the employee denied access to the data processing department? Denied access to any data, program listings, procedure manuals? Are other employees informed of the employee's termination? When is the password delete from the system?
Are inventory records of all tapes and disks maintained?

Are status records of tapes and disks maintained?
Is Office Automation software (Office 2000, etc.) used? Does it require a separate login to access?
Are users informed and periodically reminded that use of unauthorized software or copying of office software is forbidden?
Is Virus Protection software in place? How often is it updated? Manually or automatically? How is it distributed to user machines?
Does office policy require virus scanning of all foreign disks/files prior to their use on LAN machines?
SECURITY – Physical/Environmental
Is office access controlled by a single entry point, which is monitored by a guard or receptionist?
Do "combination locks", security badges, or other means restrict access to the computer room or spaces where computer equipment is available for use?
Are there security guards during office hours?
Are there security guards after office hours?
Are combination locks or equivalent periodically changed?
Are workstation components secured (bolted or cabled)?
Are personnel trained to challenge improperly identified visitors?
Are LAN servers and administrative terminals located in a secure area accessible only to IT personnel?
Is access to the computer area limited to necessary personnel?
Is the telecommunications closet locked at all times?
Are keys to the file server and telecomm closet controlled to eliminate unauthorized access?
Are LAN operating manuals and documentation properly secured?
Are office computer standards and policies written down?
Do users log or turn off their computers when they will be away for an extended period of time?
Does the system automatically log off a user from a LAN session after a period of

inactivity?
Are workstations, LAN servers and telecomm closets kept clean and free of dirt, dust, and food?
Are components protected by surge protectors or line conditioners?
Is the LAN protected by an Uninterruptible Power Supply (UPS)?
Are there plastic or protective covers for components?
Are components covered up at night and during emergency evacuation drills?
Do users receive periodic training on emergency evacuation responses and good housekeeping practices?
SYSTEM UTILIZATION
Number of scheduled 8 hour shifts per day:
Number of scheduled days per week:
Average number of jobs per day:
Average number of programs running concurrently:
Does the system provide the capability to electronically transmit data to FNS?
SYSTEM DOCUMENTATION
Does program documentation include:
a) General narrative description of the program?
b) Original specifications plus any modifications?
c) Detailed narrative description of the program?
d) Detailed logic diagram or decision table?
e) Input record formats?
f) Input record descriptions?
g) Output record formats?
h) Output record descriptions?
i) Master file formats?
j) Master file description?
k) List of constants, codes, and tables used?
l) Source program listing?
m) Object program listing?
n) Operating instructions?
o) Description of test data used to test program?
Is access to program documentation restricted to persons who do not operate the equipment?
Are copies of all documentation stored off-site?

Is stored program documentation periodically updated to match that being used?
Are all program changes and their effective dates recorded in run books in a manner which preserves an accurate chronological record of the system?
How often is documentation reviewed to ensure it is current?
Have documented procedures been established covering the operations of the data center?
Are daily equipment operating logs maintained?
Is downtime shown and explained?
Is there an error log or report for each program run?
Are all processes and operator decisions recorded in a daily log?
Is the operator log regularly reviewed for unusual/unauthorized operator actions?
Do these requests describe the proposed changes and reasons for them?
Are changes in the master file authorized in writing by the initiating departments?
Are departments that initiate changes in master file or programs furnished with notices or a register showing changes actually made?
Are changes reviewed to ensure that they were made properly?